



DC Government Career Opportunities

Job Title: Securities Licensing Specialist

Requisition Number: JO-1603-5114

Grade: 12

Salary Range: \$73,867.00 - \$94,504.00

Promotion Potential: No

Agency: Insurance, Securities and Bank

Location: 810 1st St NE

Area of Consideration: Open to the Public

Opening/Closing Date: 4/11/2016 - 5/11/2016

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Job Summary

Introduction

This position is located in the Department of Insurance, Securities and Banking, Securities Bureau, Licensing Division.

Duties and Responsibilities

The incumbent examines applications for the licensing of broker-dealers, investment advisers, broker agents, investment adviser representatives and agents of issuers in order to determine whether (a) full and accurate disclosure has been made by the applicant and (b) whether grounds for denial of licensing exist.

The incumbent determines the sufficiency of disclosure made in the application, checks all disclosure made by individual or individuals (sole proprietor, partners, officers and directors, or others, depending on type of organization) against information available and acquired. Makes initial determination as to whether or not reasons exist for instituting proceeds for denial of licensing within the Act administered by the Bureau.

The incumbent maintains a record of the data obtained from other government agencies relative to the examination of broker-dealer and agent investment advisers, investment advisors representatives and agent of issuer's applications.

The incumbent drafts correspondence to applicants concerning deficiencies in the applications, explaining the laws, procedures and requirements. Further, corresponds with various private associations and government agencies the Bureau or division is in contact with as it relates to securities issues.

The incumbent reviews the applications submitted for agents or representatives to determine whether the individual meets the educational, training and experience requirements, prior to making a final recommendation. Monitors the CRD system and other automated systems for the records of qualifying examinations and disciplinary actions taken by all states.

The incumbent makes recommendations for the approval or denial of licenses or further courses of action such as the need for additional investigations, deferral of registration, etc. Recommendations are accompanied by supportive data. Posts amendments to the Bureau's files, books and records as reported from broker-dealers, investment advisers, broker dealer agents, investment adviser representatives and agent of issuers' licenses. Ascertains correctness in the amount of all filing monies received by the Bureau. Provides statistical information for various reports for the Bureau. Perform other related duties as assigned.

Qualifications

Knowledge Required for the Position

Knowledge of securities licensing laws, regulations, policies and objectives of the Securities Bureau to effectively examine applications for licensing of broker-dealers, investment advisers, broker agents, investment adviser representatives and agents of issuers.

Knowledge and skill in applying analytical and evaluative methods and techniques to various issues incident to the licensing of applicants engaging in the securities industry.

Ability to effectively communicate with others orally and in writing to interpret and explain technical licensing information and/or present factual data for decision-making. Considerable inter-personal skills are required to elicit factual data to support recommendation adverse or positive.

Supervisory Controls

The incumbent works under the general supervision of the Assistant Director of Licensing (Securities) who makes assignments by defining the objectives, priorities. The incumbent is considered an expert licensing specialist and accordingly will provide alternatives to the supervisory in unusual or sensitive licensing situations that do not have clear precedents. The supervisor has the final say in the matter however, may review the cases and provide another alternative. The incumbent carries out the successive licensing processing steps, coordinating work activities internally and externally. Conducts required investigations and discusses controversial licensing issues with the supervisor.

Physical Demand

The work is sedentary. Typically, the employee may sit comfortably to do the work. However, there may be some walking, standing, bending, traveling to securities companies, carrying of light items such as papers, books and driving an automobile etc. No special physical demands are required to perform the work

Work Environment

The work is primarily performed in an office setting.

Education

Bachelor's Degree and at least four (4) years of relevant work experience; or equivalent combination of education, training and/or experience

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